

08/17/00
1c896 U.S. PTO

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PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. _____

First Inventor or Application Identifier _____

Title _____

Express Mail Label No. _____

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 3]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
4. Oath or Declaration [Total Pages 16]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☐ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☐ Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____
Prior application information: Examiner: _____ Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	MAMOUR SADRE				
Address	29 HICKORY Lane				
City	Windham	State	NH	Zip Code	03087
Country		Telephone		Fax	

Name (Print/Type)	MAMOUR SADRE	Registration No. (Attorney/Agent)	
Signature		Date	8/17/00

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STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

Docket Number (Optional)

Applicant, Patentee, or Identifier: MAMOND SADRE
Application or Patent No.: _____
Filed or Issued: _____
Title: _____

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN FTS Electronic Marketplace, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 800 W. Cummings Park
Woburn, MA 01801

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING MAMOND SADRE

TITLE OF PERSON IF OTHER THAN OWNER PRESIDENT

ADDRESS OF PERSON SIGNING 800 W Cummings Park, Woburn, MA 01801

SIGNATURE [Signature] DATE 8/14/00

2. SPECIFICATION

a) Descriptive title of the invention

Risk Management for Manufacturing Environment

b) Cross References to Related Application

- i) trading systems
- ii) securities
- iii) supply chain management
- iv) global cash management and settlement
- v) market data and analytics

c) Background of the Invention

Despite several trillion dollars in annual volume and a relentless pace of innovation in the manufacturing sector, the global market in major industrial commodities remains a jumble of inefficient sales and purchasing channels. Poor information, entrenched relationships, costly travel and needless paperwork regularly lead to inflated costs, dramatic price swings, significant transaction risk and a high degree of uncertainty about product quality, availability and delivery. Even though there have been rapid gains in productivity in most aspects of manufacturing due to advances in technology and management techniques, the buying-selling process has generally lagged behind because of a lack of modern tools. One of the essential reasons for this deficiency is the high cost of owning and maintaining the infrastructure required to create a common global platform necessary to eliminate the risk of doing business globally.

d) Brief Summary of the Invention

an automated, double-sided real-time auction with built-in financial settlement. A new business model provides a mechanism which guarantees price as well as availability of in-process-materials for manufacturers.

e) Brief Description of the Drawings

- i) A pyramid representing the relationship of main elements
- ii) Risk elements in manufacturing (3 sketches)
- iii) Selection process of manufactured products (3 sketches)
- iv) Global cash management
- v) Global physical delivery

f) Detailed Description

- Integration of trading platform into:
 1. financial cash management engine (ACH and non ACH) , automating clearing/settlement system for executed matched trades in real time
 2. data exchange engine, automating receive and dispatch of physicals before and after the matched orders are identified.
- knowledge based engines which provides a methodology to generate products that can in turn be “securitized”
 1. classification of manufacturers parts
 2. extraction and compilation of sales figures per product
 3. application of 80/20 rule to compute products market share
 4. rationalizing products grouping based on the above
 5. extraction of technical spec per product category
 6. rationalizing manufacturers part numbers based on specs
 7. generating generic product specs
- risk management engine (margin maintenance)
 1. development of multi-level trading (forwards and futures on a common platform)
 2. a methodology of making international trade currency neutral
 3. developing manufacturers business rating combining financial with trade history
 4. methodology for computing real time manufacturers earnings based on commodities index
 5. methodology for computing real time manufacturers earnings based on currency exchange
- interfaces
 1. Common platform to interchange data between windows environment and web based databases for data capturing
 2. As above, but for data transmittal
- A full system integration of all the above modules in a web environment

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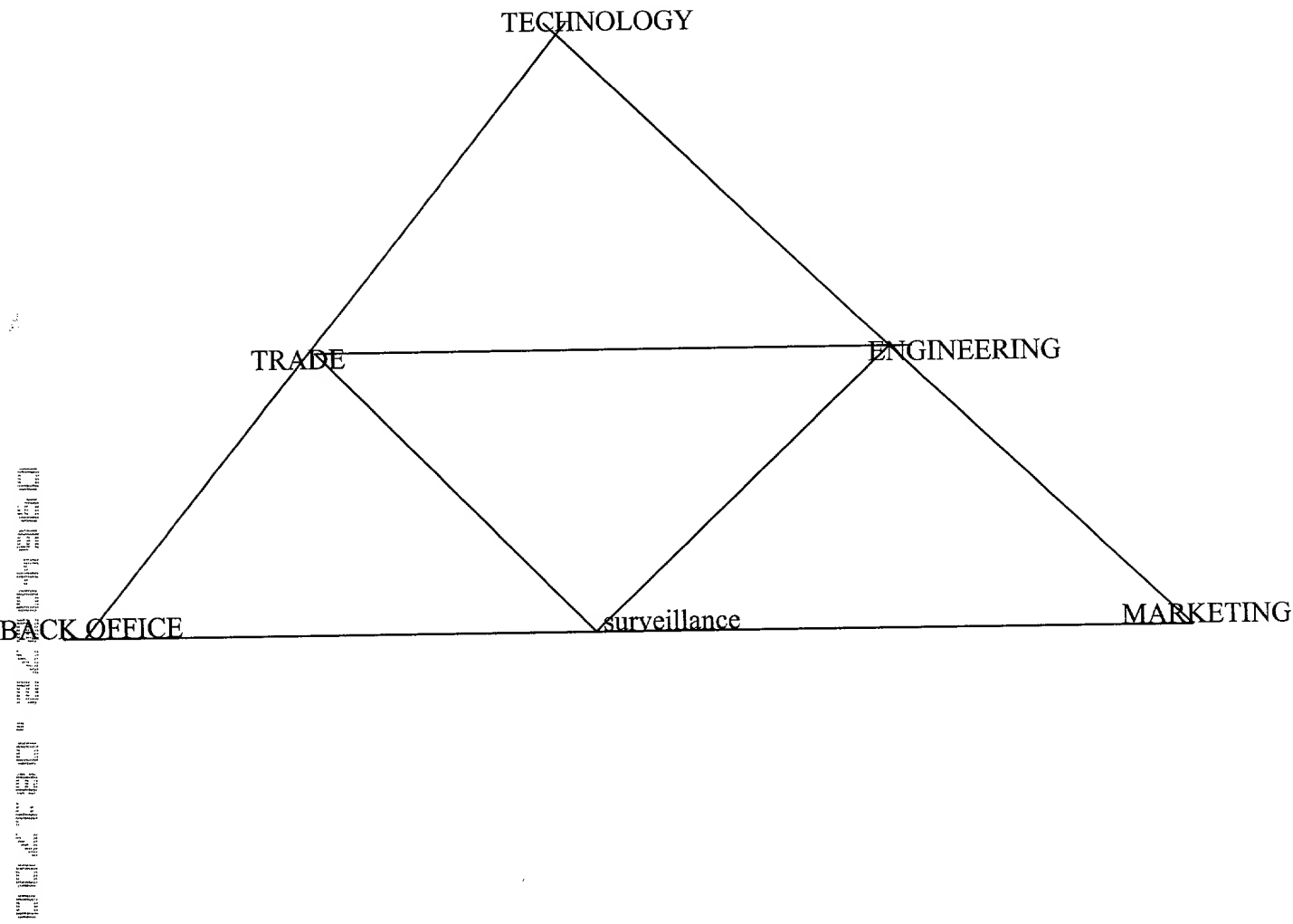
g) Claims

1. The methodology of developing product that can be used as paper trade or security
2. The business model that allows a trading platform for these products

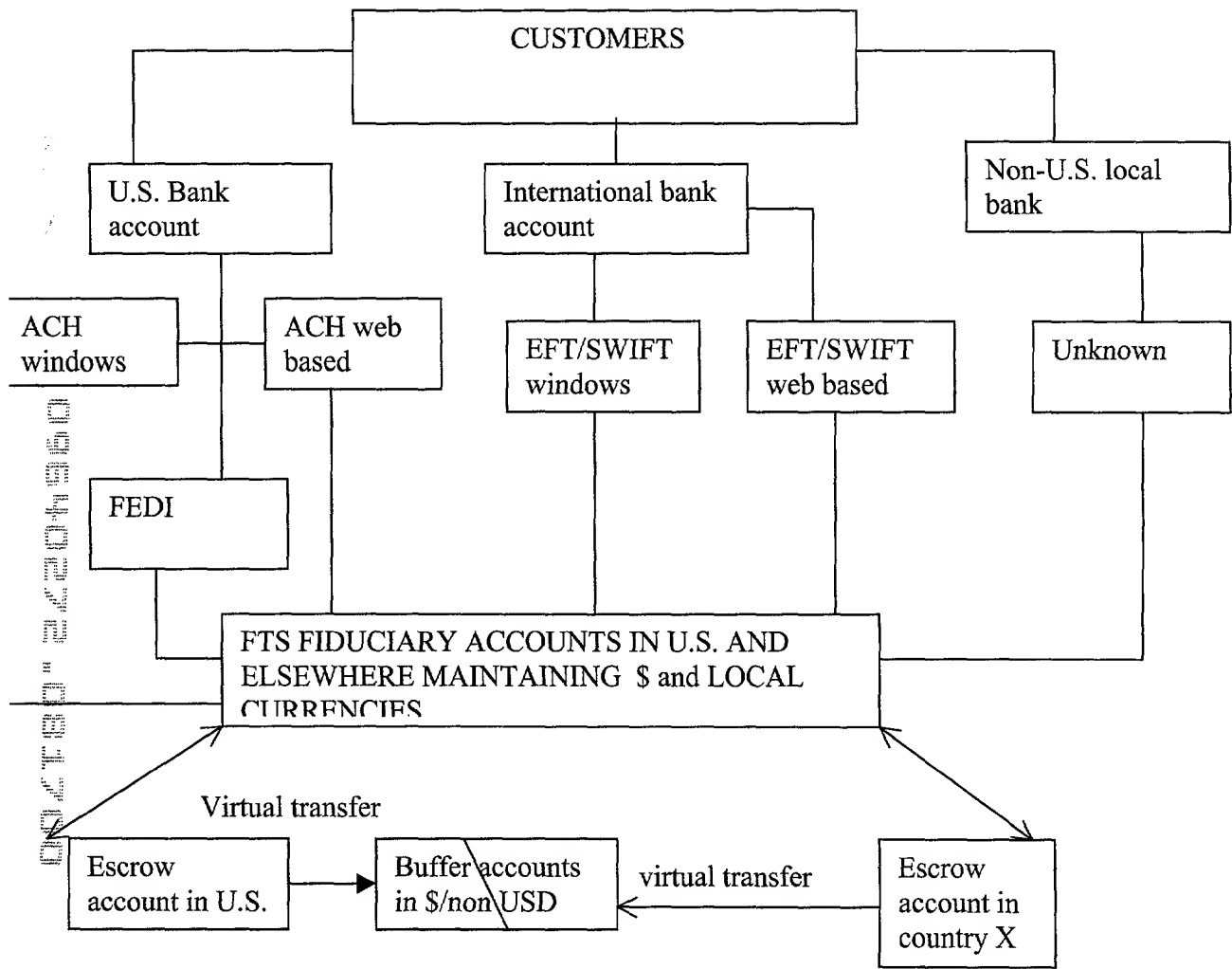
h) Abstract of Disclosure

a real-time, trading platform that integrates an automated, double-sided auction system with robust, scaleable technology for cash management and settlement and a combination of new and traditional financial instruments for hedging both commodity price and foreign exchange risk. The new business model replaces the inefficient market with a comprehensive trading platform and integrated risk management capability constituting an important evolutionary paradigm for supply chain management in the manufacturing arena

Business Model

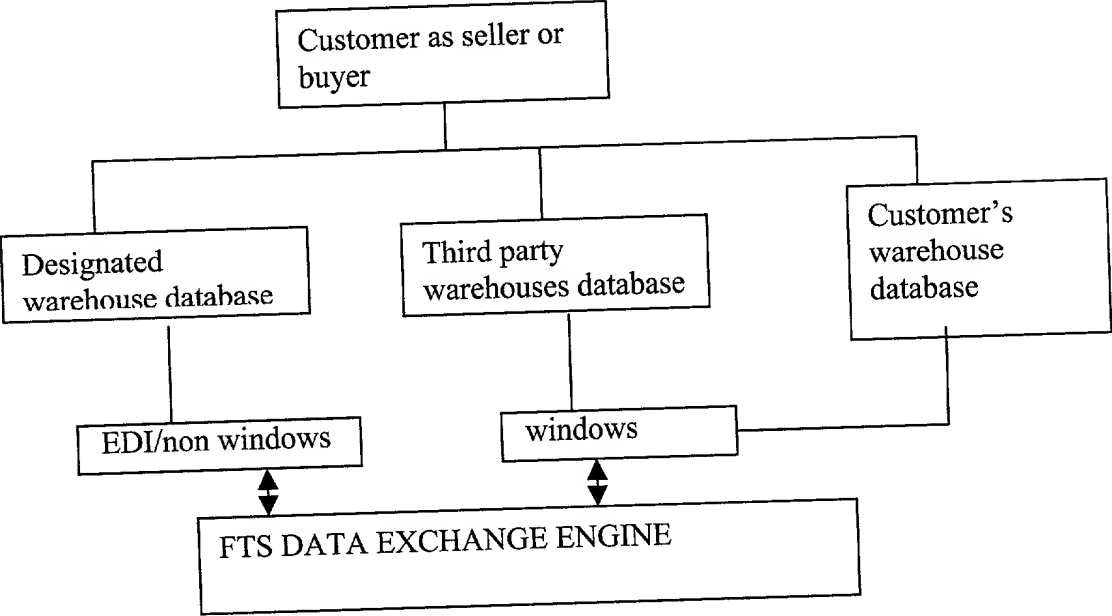


GLOBAL CASH MANAGEMENT INTERFACE



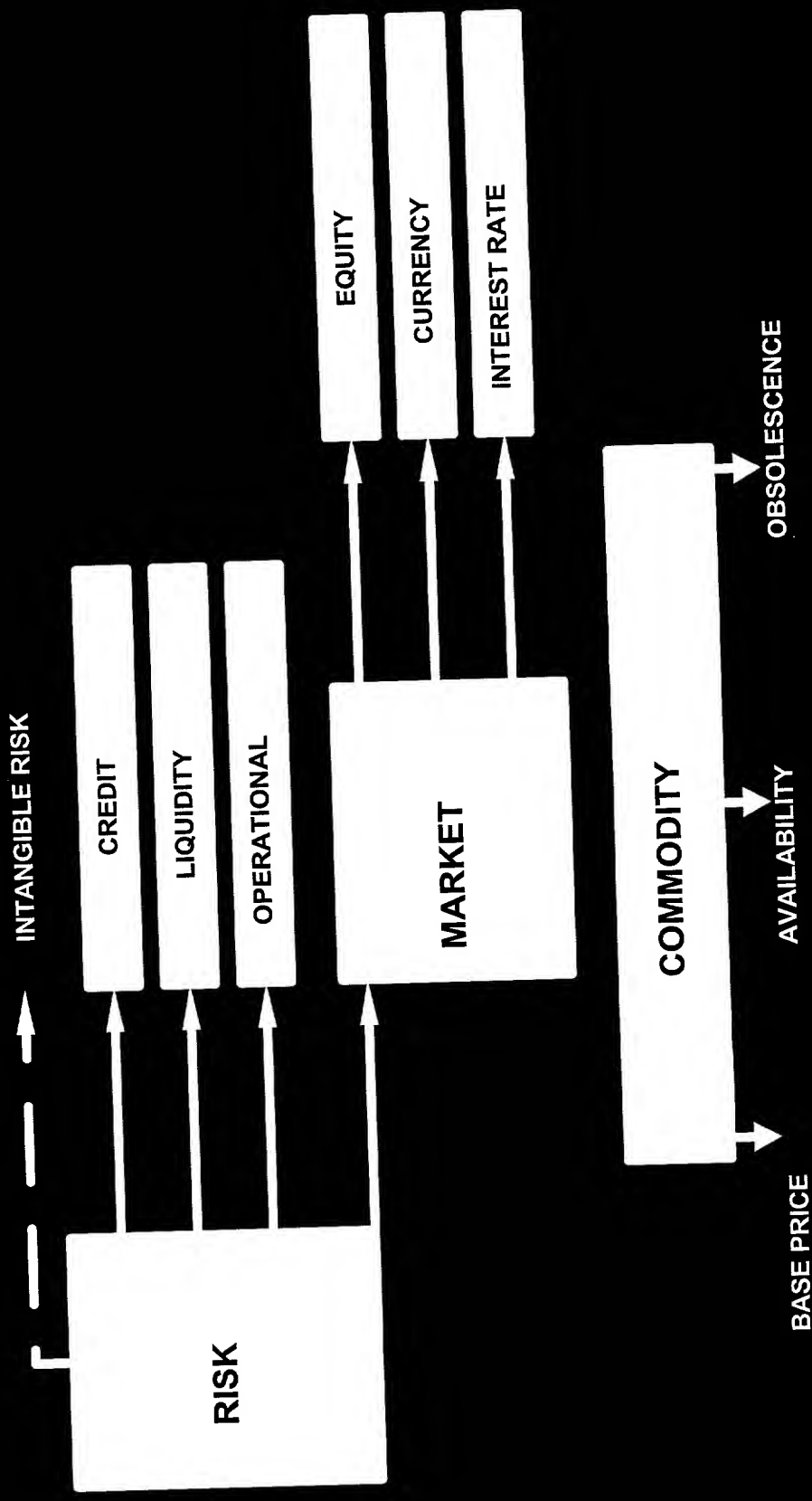
GLOBAL PHYSICAL DELIVERY INTERFACE

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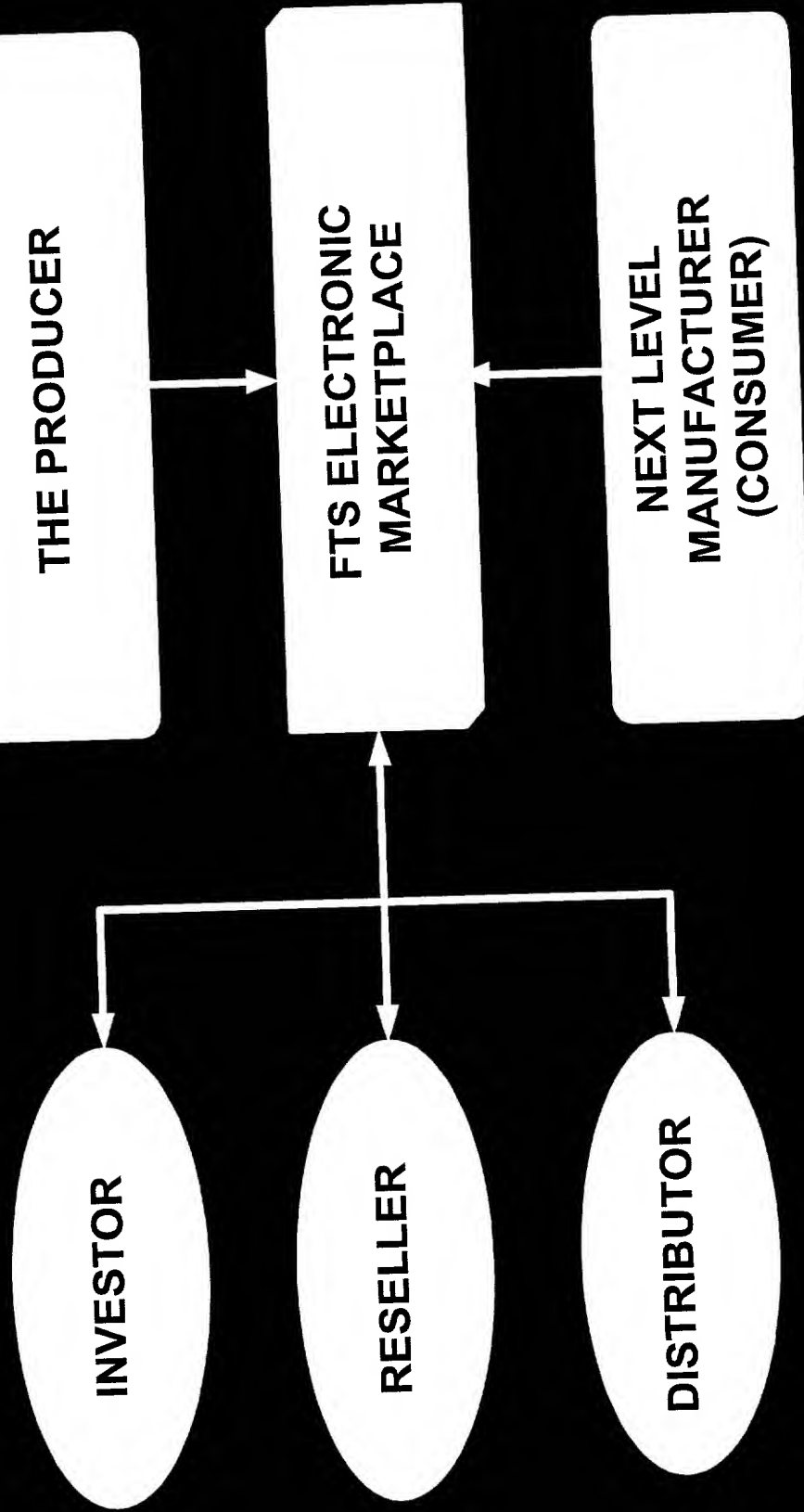


Managing Manufacturers Risk



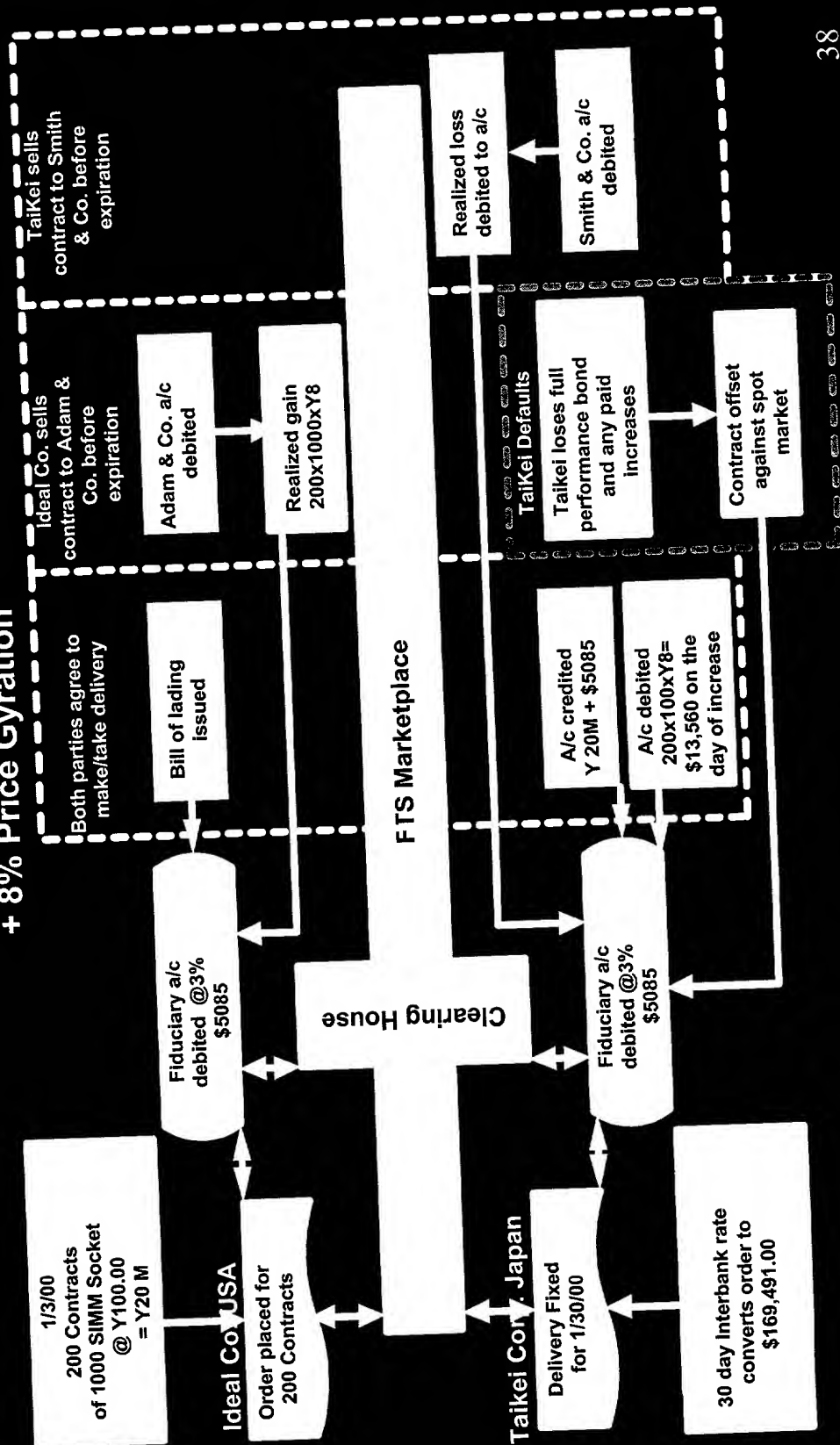


Risk Management

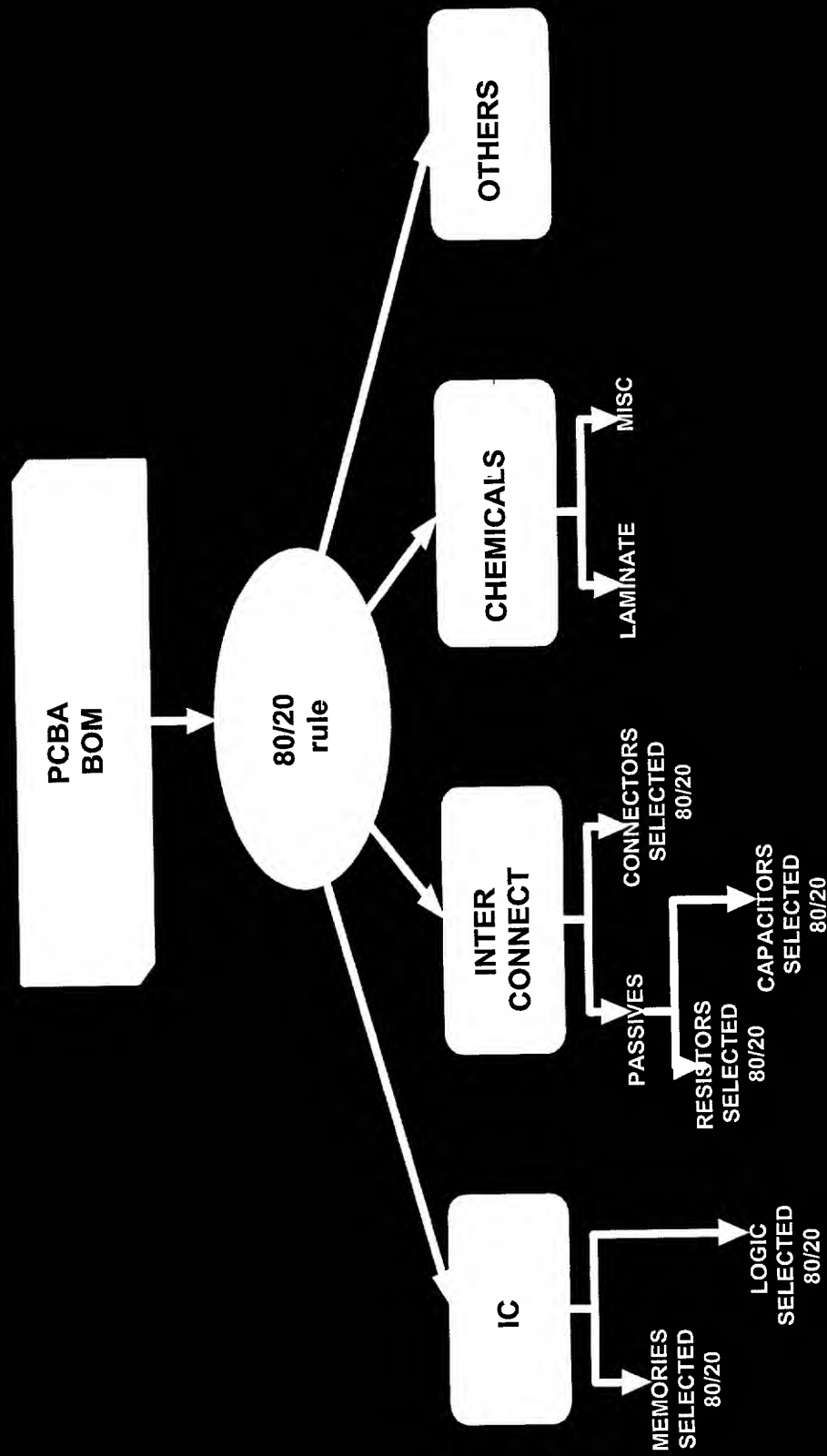


Risk Management

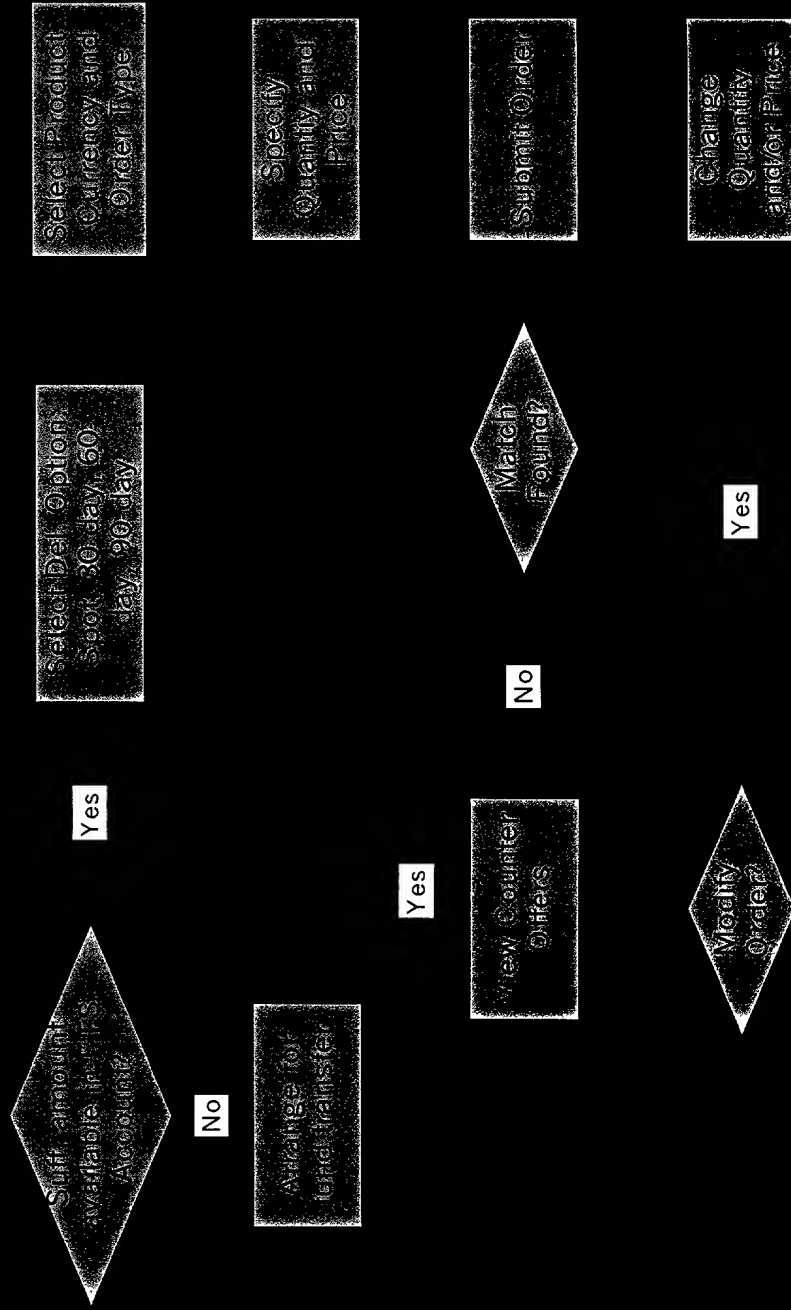
+ 8% Price Gyration



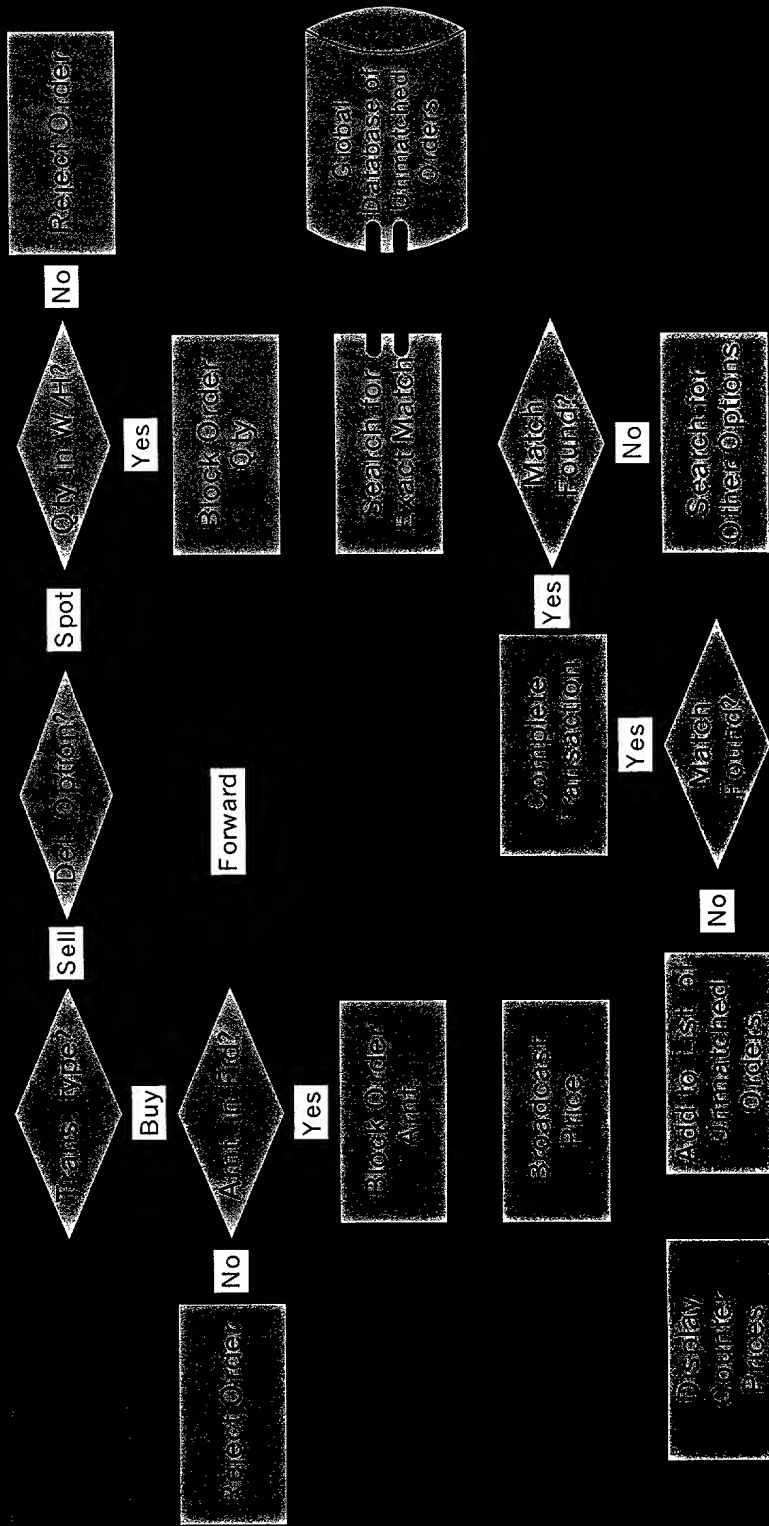
Product Selection (Contd.)



Procurement - User View



Order Processing - Sys. View



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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)	Attorney Docket Number	
	First Named Inventor	
	COMPLETE IF KNOWN	
	Application Number	/
	Filing Date	
	Group Art Unit	
<input checked="" type="checkbox"/> Declaration Submitted with Initial Filing	OR	<input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)
	Examiner Name	

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

RISK MANAGEMENT FOR MANUFACTURING

the specification of which (Title of the Invention)

☒ is attached hereto
OR

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

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DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☐ Customer Number OR
☐ Registered practitioner(s) name/registration number listed below

Place Customer
Number Bar Code
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Name	Registration Number	Name	Registration Number

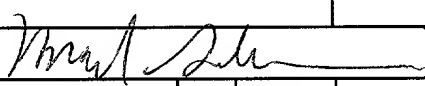
☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☐ Customer Number OR ☒ Correspondence address below

Name	MAMOUD SADRE				
Address	29 HICKORY LANE				
Address					
City	WINDHAM	State	NH	ZIP	03087
Country	USA	Telephone	781-939-0700	Fax	781-939-0769

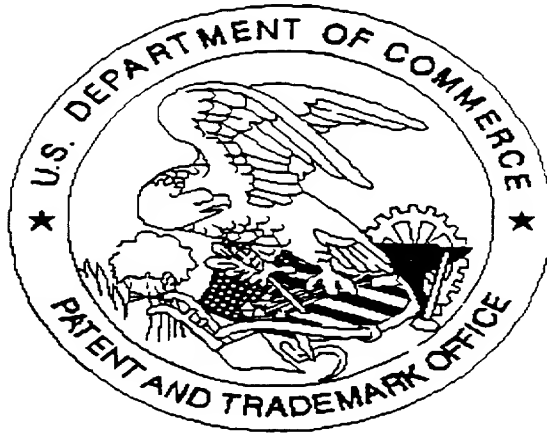
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))		Family Name or Surname	
MAMOUD		SADRE	
Inventor's Signature			Date
Residence: City	WINDHAM	State	NH
		Country	ROCKINGHAM
Post Office Address			
Post Office Address	29 HICKORY LANE		
City	WINDHAM	State	NH
		ZIP	03087
		Country	Rockingham

☐ Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

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